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ABSTRACT

The booklet is intended as a practical guide in leadership for those planning to become educational leaders. It presents a framework of educational values and explores leadership effectiveness within the parameters of an appropriate education for children. Reflected in the discussion are the principles that leaders should adhere to when devising educational policy. The first section presents the bases for educational leadership, listing the basic principles-- presented as moral dimensions--that guide the acts of school leaders. Section 2 provides a case study to understand better the relationship between principles of leadership and decision making. It is intended to help the reader analyze "how" decisions should be congruent with basic principles of educational leadership. Section 3 looks at educational leadership in the future, articulating the challenges schools will face in the 21st century. The last section presents conclusions and recommendations to guide readers as they prepare for leadership positions. (RJM)

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Series Editor, Donovan R. Walling

Legal and Ethical Bases for Educational Leadership

by
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Foreword

This fastback by two of the preeminent educational leaders in our country is most timely. Books and articles are few and far between about the critical need for education professionals with the highest ethical standards, a strong sense of patriotism, and a dedication to educational leadership that approaches messianic fervor.

I served as chair of the Ethics Committee of the American Association of School Administrators that worked with Ralph Kimbrough in the early 1980s, when he was publishing one of the first books on educational leadership ethics, *Ethics: A Course of Study for Educational Leaders.* Since then, there has been limited publication in this area. Yet, it is poor performance in this area that draws the most negative public opinion to our profession.

In this fastback, Thomas and Davis present a cogent case for the highest level of ethical and legal behavior when serving in the role of educational leader. The leader is not above the law; he or she is a major party to upholding the law. The leader certainly cannot be amoral but, rather, must be the embodiment of everything that is moral and good.

As educational leaders, we have a higher calling in our profession than do most others. If we fail to lead by example, then we have no one to blame but ourselves if the students we seek to educate and the fellow professionals we seek to lead follow our poor example.

This fastback offers the practical wisdom of many years of quality leadership experience by two leaders whom anyone in our profession would do well to emulate. In no small way the future of our society rests in our behavior on the job — and in following the precepts outlined in the following pages.

T. Chris Mattocks, Chairperson
AASA Ethics Committee, 1985

Introduction

This fastback is not another discussion of leadership theory. Rather, it is intended to be a practical guide in leadership acts for those who aim at becoming educational leaders. The authors wish to assist educational leaders to make appropriate decisions and to understand the bases for appropriate educational leadership. Being an effective leader requires one to act within obligatory restrictions. As John Gardner stated in his book, *On Leadership*:

> We say that we want effective leadership; but Hitler was effective. Criteria beyond effectiveness are needed. Ultimately we judge our leaders in a framework of values. (1990, p. 67)

It is that framework of educational values that we wish to articulate, so that leadership effectiveness is studied within the parameters of an appropriate education for our children. Reflected in our discussion of leadership are the principles one should adhere to, if he or she wishes to be an effective educational leader — that is, one who understands and appreciates the purpose of public education in a democratic society.

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In the first section we present the bases for educational leadership. These are the basic principles that guide the acts of school leaders. They are the moral dimensions by which leaders are judged — Gardner's "framework of values" that one should understand, appreciate, exhibit, promote, and teach.

Section two is a case study to better understand the relationship between principles of leadership and decision making. It is intended to help the reader analyze how decisions should be congruent with basic principles of educational leadership. It also demonstrates the application of legal and ethical leadership bases to actual decisions made by school leaders.

In the third section we discuss educational leadership in the future. We articulate the major challenges that will face our schools in the 21st century, the abilities needed for effective leadership, and the need for strong moral leadership by school officials. Educational leaders in the future will face complex challenges requiring strong commitment to public education and to democratic principles.

Finally, in the fourth section we present conclusions and recommendations that are intended to guide readers as they prepare for leadership positions. These are suggestions that we have found to be useful in our own lives. They are based on extensive experience as school officials in many states and at various levels of educational governance.

We hope that a thorough knowledge of legal and ethical issues will help educators to become leaders who act out of goodness. We also hope that many educators will

Bases for Educational Leadership

Leadership does not occur in a vacuum. There is a context and there are limits that define leadership acts. Not only must one understand the limits of leadership, one must act within those limits. Leadership that goes beyond the limits inevitably results in failure. If generals extend their supply lines beyond a certain limit, they lose the battle; if presidents act above the law, they are forced to resign; if superintendents of schools illegally profit from their positions, they go to jail. All leadership acts are limited by legal, ethical, and historical principles, as well as by the judgments made by the leader.

Crittenden states it well:

> As minimum, the basic social morality includes the practices of justice, truth telling and honesty, concern for others at least to the extent of avoiding the infliction of injury, mutual help in satisfying essential physical and cultural needs, and the willingness to recognize the claims that others make on us on the bases of these practices. (1984, pp. 18-19)

want to serve our schools and, therefore, will desire to provide effective, moral leadership for public education. We believe that the future of democracy depends on it.

The essence of moral behavior may be summed up in Albert Schweitzer's belief that moral individuals have the same reverence for the life of others as they have for their own life. It also can be understood by David Hume's principle that morality requires one to work for the common good.

For school leaders the bases for their actions are well-established but not always fully understood nor deeply appreciated. In our work in universities we have noticed a lack of knowledge in this area among graduate students of education who are preparing themselves for leadership positions. It is an area that should be examined urgently by colleges of education.

Diane Ravitch notes that in a democratic society schools sustain the delicate balance between equity and excellence. They also balance individual rights with the right of the state to effectively educate the young. Both are difficult balancing acts, but our understanding of the bases of educational leadership assists school leaders to balance successfully and to lead effectively.

Clark and Clark provide a definition of leadership that emphasizes this balance:

> Leadership is an activity or set of activities, observable to others, that occurs in a group, organization, or institution and which involves a leader and followers who willingly subscribe to common purposes and work together to achieve them. (1996, p. 25)

Educational leaders must embrace the principles noted: common purpose, exemplary behavior, responsibility, willingness to achieve a higher purpose.

Gardner states: "Ultimately we judge our leaders in a framework of values" (1990, p. 67). He notes there are several kinds of leaders that do not meet expected ethical standards:

- Leaders who inflict punishment on followers;
- Leaders who treats subordinates well but encourage evil acts against others;
- Leaders who use bigotry, hatred, revenge, or fear as motivation;
- Leaders who make followers dependent; and
- Leaders who destroy human dignity (p. 68).

Leaders who demonstrate any one of Gardner's below-standard moral attributes undermine trust and the very foundation of effective leadership. However, Gardner points out that such leaders generally receive either collaboration or acquiescence from followers for their actions. As he puts it, "The fault is not in our stars" (p. 71).

Those who wish to lead our schools should have strong personal convictions about the efficacy of public education. If such convictions are not held, one should consider a change of occupation. Educational leadership requires a core of values that supports public education, equity, fairness, and equal access to quality education for all children. Having such a core of values (necessary for a democracy) is essential to appropriate ethical, educational leadership.

Educational leaders must serve in positions that provide an environment congruent to their core values. To do otherwise is to create a contradiction between what

one believes and what one is required to do. Over a period of time such conflict will destroy an individual's sense of worth, generally will lead to unhappy experiences, and, in the extreme, may lead to depression. Therefore, those who wish to be educational leaders should examine carefully the values to be expressed in a certain position and the degree to which those values are similar to one's personal convictions. Not doing so is a certain road to failure.

The leader sets the tone for the organization. "Leaders who announce that they can neither affect nor determine the behavior of their followers are denying the major responsibility of leadership" (Clark and Clark 1996, p. 64).

Educational leadership occurs within a framework of values that includes:

- Principles of democracy, laws, rules, regulations, and policies (legal limits);
- Best professional practices;
- Ethical guidelines;
- Moral imperatives; and
- Personal convictions.

Legal Limits

The United States of America draws its strength from diversity. It is a nation of immigrants. At the same time, the nation possesses an ethic that establishes a common goal, originally established in the first 13 states as "the commonwealth." Education is the vehicle that brings stability to the nation, creating a common vision of

democracy. As Schlesinger stated: "Our task is to combine due appreciation of the splendid diversity of the nation with due emphasis on the great unifying western ideas of individual freedom, political democracy, and human rights" (1991, p. 138). Democracy can survive only in a society where people understand democratic principles, have knowledge of basic national documents, and have skills to participate fully in citizenship activities, even to the extent of peaceful dissent. These are the ideas found in the Declaration of Independence, the Bill of Rights, the Constitution, the Mayflower Compact, the Mennonite Declaration, and other important national documents. Pluralism is held together by common values, mutual trust, and adherence to basic democratic principles. "Pluralism that reflects no commitments whatever to the common good," wrote Gardner, "is pluralism gone berserk" (1990, p. 97).

Article X of the United States Constitution states: "The powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the States respectively, or to the people." Education, not delegated to the United States, is therefore a state obligation. Each state has a constitutional obligation to provide for the education of its children and youth. Therefore, school leaders are conducting a state function and protecting the state's interest by promoting education. In doing so, their primary aim and most important responsibility is to protect, exhibit, appreciate, and teach principles of democracy — the bases for which schools were established. The fundamental imperative of educational leadership is to preserve democracy.

Educational leaders, in effect, are state constitutional officers who represent the state in their work with local school districts. They are government officials, conducting government business. This should be emphasized, as many school leaders do not see themselves as extensions of state government.

Schools are the incubators for learning about and practicing principles of democracy. Therefore, education requires leaders who are committed to the principles of democracy, individuals who can balance equity and excellence, freedom and compliance to learning, diversity and limits. Schools require leaders who understand, appreciate, respect, teach, and abide by a set of political principles that distinguishes the United States of America from all other nations. This is the first and most important responsibility of effective educational leaders.

Annually, thousands of parents entrust their children to the public schools for education and personal development in an environment expected to be safe and nurturing. They expect school leaders to exercise some authority but also to demonstrate responsibility in their actions. Kimbrough, in relating Cooper's points on "objective responsibility," provides examples of these expectations:

- Upholding the Constitution, laws, regulations, and policies and observing job descriptions.
- Observing the rules of the organization.
- Implementing directives of superiors and passing decisions to subordinates necessary for efficient and effective administration.

- Acting in conformity to the normative expectations (or expected role) of the position held.
- Upholding professional standards.
- Serving the public interest. (1985, p.10)

Best Professional Practices

Educational leadership requires that individuals keep current with research, field studies, and education experiments. Leaders must understand "best practices" and be able to implement them. However, identification of best practices should not be based on a single study or one experiment. Best practices emanate from meta-analyses, such as those conducted by Gene Glass on class size and Jeannie Oakes on student tracking. Meta-analyses are a synthesis of a cluster of studies conducted in an area of education. Conclusions drawn from meta-analyses may be more illuminating than those obtained from a single study.

School leaders must examine many current practices with a view toward what the research says are best practices. Tracking, retention, top-down inservice, long-range planning, use of aides, and many more strategies must be re-examined in light of the convincing body of literature that provides better direction than what many now are doing. It is not an easy task; nevertheless, it is adherence to a professional value that should guide the leader.

Ethical Guidelines

All professions have ethical standards. Education is no different; it too has ethical principles. As profession-

als, educational leaders have a code of ethics that guides acceptable standards of practice. A few examples serve to illustrate principles that should guide leadership acts:

- Contracts are not broken unilaterally.
- Anonymous information is not used to injure others.
- One does not personally profit from the position held.
- Confidential materials are kept confidential.
- One does not use school employees and school materials for personal matters.
- Expense accounts are not falsified.
- School leaders tell the truth, have integrity, and adhere to the ethics of the profession.

The ethics of leadership responsibility encompass all phases of a leader's work. Leaders must work with employees who are more articulate now than ever in voicing their needs, with parents who wish to become more involved in the day-to-day operation of the schools, with legislators who desire to provide more detailed direction to schools regarding specific programs or activities, and with school boards feeling the pressure from all of these groups, who desire to "keep control" or "manage" the schools. In addition, leaders must interact with special interest groups that desire a particular curriculum, instructional methodology, or set of materials for use in instructing their children. The values leaders bring to educational leadership directly affect their effectiveness and the effectiveness of the schools they serve.

Moral Imperatives

What are the moral imperatives of leadership? Sergiovanni relates moral leadership to school improvement. His use of the phrases "moral imperative," "what is good," and "managerial imperative" characterize his position that:

> Morally speaking, whether or not an action succeeds in accomplishing some instrumental end is irrelevant; what counts is whether one is motivated by goodwill. (1992, p. 104)

Practicing leaders would agree that Sergiovanni's points are valid; however, they would argue that the results or effectiveness of "good" actions also are necessary in the everyday world of leading an education organization. Sergiovanni, writing about what he calls the "virtuous school," recognizes that for leadership in an educational environment to be meaningful, it must be focused on "good" and "effective." In fact, he suggests that the "virtuous school" is congruent with the Effective Schools tenets of Edmonds, Brookover, and Lezzotte.

Sergiovanni states that in order to achieve the "virtuous school," some moral principles must be in place. He quotes two principles, proposed by William K. Frankena in his 1973 book, *Ethics*, that are appropriate:

- The principle of justice: equal treatment and respect for the worth of each individual.
- The principle of beneficence: a concern for school and community welfare (Sergiovanni 1992, pp. 105-106).

Ruggiero, as reported by Sergiovanni, offers four additional principles:

- Relationships with other people create obligations of various kinds, and these should be honored unless there is a compelling reason not to.
- Certain ideals enhance human life and assist people in fulfilling their obligations to one another.
- The consequence of some actions benefit people, while those of other actions harm people.
- Circumstances alter cases (Sergiovanni 1992, p. 110).

Moral imperatives of the effective leader embody shared values, trust, honesty, fairness, equity, empowerment, human dignity, doing the right thing, rule of law, justice, and beneficence. Moral leaders strive to demonstrate these tenets in their everyday leadership practices by doing the right thing, rather than by doing things right. Gardner may state it best:

> We believe, with Immanuel Kant, that individuals should be treated as ends in themselves, not as means to the leader's end, not as objects to be manipulated.
>
> We cannot approve a leader who betrays the common good in the interest of personal aggrandizement or profit.
>
> We expect our leaders to be sensitive to and serve the basic needs of their constituents. (1990, p. 73)

How are these imperatives demonstrated in an educational environment? Sergiovanni describes the "virtuous school" with these five points:

- The virtuous school believes that to reach its full potential in helping students learn, it must become a learning community in itself.
- The virtuous school believes that every student can learn.
- The virtuous school seeks to provide for the whole student.
- The virtuous school honors respect.
- In the virtuous school, parents, teachers, the community, and the school are partners, with reciprocal and interdependent rights to participate and benefit and with obligations to support and assist each other (1992, pp. 112-13).

Clearly, Sergiovanni's "virtuous school" encompasses both his and Gardner's views of the moral leader and provides a challenge to those who desire to follow that path. The essence of moral leadership is that it is founded in beliefs, values, and principles that promote the highest priority to service through a set of core values that drive not only the leader but also the organization that he or she leads.

Personal Convictions: A Summary Point

It is important to point out that in the real world, effective leaders who espouse the moral fiber described in this section ask themselves only one question when the big issues are to be decided: For what am I willing to give up my job?

Usually, these leaders find it quite easy to answer the question, because they have become effective at an-

swering the smaller questions that lead to this juncture. Some examples may serve to illustrate:

> If your supervisor or the school board demands that you terminate an individual because they do not like his or her style and you have no evidence the individual is not performing job expectations satisfactorily, what would you do? Do you sacrifice the individual to keep favor with your supervisor? Or do you indicate that there is no evidence the individual is performing ineffectively; hence, until there is, you intend to retain him or her (possibly hurting your relationship with your supervisors)?

This goes to the heart of integrity, human dignity, rule of law, and other moral imperatives.

> As superintendent of a growing school district, you find it necessary to change attendance boundaries to use available space effectively. One proposed change would reassign some students living in moderately priced homes into a school neighborhood with very expensive homes. The developer of the expensive homes meets with you and requests that you redraw the boundary lines to avoid having the children from moderately priced homes within the newly created boundaries. He indicates a need for a real estate coordinator and suggests that your spouse might be interested in the job. What do you do? Do you redraw the boundaries to keep the same type of student population together and to help your spouse get a great job? Or do you support the proposed boundary change because of its equity and better use of space?

This example addresses honesty, personal gain, and equity.

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Crittenden suggests that persons seeking to understand the ethical challenges facing school leaders would do well to "distinguish between the basic social morality — the values and practices without which society could hardly survive and would certainly not be tolerable — and the comprehensible bodies of moral belief about what is good or desirable for social and individual human life" (1984, pp. 18-19). In his view, the task of an educational leader is that of a trustee of a public social good, and persons who undertake this task must allow themselves to be guided by certain tenets of public morality.

Richard Leider suggests that "self-leadership is the essence of leadership" (1996, p. 189), and then suggests 18 tips for those who want to be effective self-leaders. One of these tips is particularly appropriate for those striving to become moral leaders: "The key to high performance is integrity" (pp. 193-98). In the final analysis, moral leadership must rely on integrity, keeping the promise of core values, being a giver versus a taker, never holding a position for power or title, recognizing the dignity and worth of all people, never compromising the truth, and leading people to do what is right.

Thus all acts of educational leaders should be examined against these criteria:

- Do my acts support principles of democracy and abide by legal requirements; and are they congruent with state and federal regulations and local policies?
- Are my acts congruent with best professional practices? Can I justify my decisions using sound data from multiple sources?

- Am I acting within the ethical standards of the profession?
- Am I an exemplar?
- Are my personal convictions supportive of my actions? Are there any contradictions between what I believe and what I am doing?

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Case Study: Richard Calisch and Symbolism

Following is a case study that is designed to assist those preparing for leadership with understanding the basic principles of educational leadership proposed in this fastback. It relates legal and ethical tenets to a specific decision made by an educational leader.

Presentation of the Case

Richard Calisch taught Advanced Placement English. He was considered to be one of the best high school teachers in the state. He had received recognition as an essay writer, a poet, and a literary critic. The high school principal had stated that Mr. Calisch was the most outstanding teacher he had ever known.

On a particular day his Advanced Placement English class members walked into the room and quietly sat in their chairs. The bell rang to begin the class session. As Mr. Calisch looked at the group, he noticed that one of

the young men was wearing a necklace from which dangled a Nazi symbol, a swastika.

Mr. Calisch requested that the young man put the necklace in his pocket. The student refused. A second request was met with similar indifference. Mr. Calisch then directed that the boy leave the room and discuss the situation with the principal. The boy requested an explanation, which Mr. Calisch provided.

The teacher explained that he was Jewish and that several of his relatives had been killed in concentration camps during World War II. He also indicated that viewing the Nazi symbol, with all of its symbolism, made it difficult for him to teach the class. A second class member asked for an explanation of symbolism and how it can affect the teacher.

Mr. Calisch took out his handkerchief and asked: "What is this made out of?" "Cloth," responded the class. He dropped the handkerchief to the floor and stepped on it. "Does it bother you that I stepped on this piece of cloth?" "No," was the unanimous answer.

Then Mr. Calisch picked up the American flag. "What is this made of?" he asked. "Cloth," responded the class. He then proceeded to drop the flag on the floor and stepped on it. The class was offended. The responses were quick and direct:

"You can't step on the flag, it is a symbol for our country."

"The flag is sacred, it is a symbol of democracy and all the values held by our nation."

"It's wrong to desecrate the flag; you may go to jail for stepping on it."

At this point, all class members, except one, agreed that the Nazi symbol held sufficient symbolism to offend the teacher. The boy wearing the necklace disagreed and left the room. The rest of the class period went on as usual.

It is now the next day. You are the principal, and you are in your office. The following events occur in quick succession:

- The boy's parents come into your office and request that their son be returned to Mr. Calisch's class.
- Your secretary brings you the morning paper. The headline states: "Teacher Steps on Flag."
- A policeman comes in and indicates that he has a warrant to give to Mr. Calisch.
- The superintendent of schools calls you and directs you to suspend Mr. Calisch immediately and without pay.

What should the effective school leader do under these circumstances? What are the legal and ethical "core of values" that should guide his leadership acts? Four basic questions face the principal:

1. How do you handle the policeman's request to serve the warrant?
2. How do you respond to the superintendent's order to suspend the teacher?
3. What do you do about the parent's request to return their son to Mr. Calisch's class?
4. How do you do all of these things without violating legal and ethical parameters?

Leadership Responses

Now comes the test of one's ability to find a proper balance in leadership acts. Let's discuss the four areas of decision-making.

1. Response to Policeman. Education and public safety are items that are articulated in state constitutions. Therefore, they are important state interests. Here we have two state interests coming together: the obligation of the policeman to serve the warrant and the duty of the principal to educate students without disruption. They have equal authority to act, unless, of course, there is board of education policy that gives the policemen some added authority or the situation is such that if immediate action is not taken, the teacher will flee from the area. In this case neither of those conditions exists. "Since there are no exigencies," attorney David V. Thomas states, "the policeman and the principal must agree to a process by which the warrant will be served" (Thomas 1997).

In this situation, the principal should keep in mind that his first duty is to educate the students, manage the school, and make decisions that do not disrupt the educational process. There are several options:

- Have the warrant served at Mr. Calisch's home.
- Have the warrant served after school hours.
- Have the teacher go to the police station to receive the warrant.
- Have Mr. Calisch receive the warrant during his conference period.

The main purpose of leadership is to serve the warrant without disruption of the educational process, something school leaders must always articulate to the many who wish to disrupt schools.

2. *Response to Superintendent.* The superintendent directed the principal to "suspend the teacher immediately and without pay." In complying with the directive, the principal would violate several basic democratic principles: the presumption of innocence, due process protection, and the right of the teacher to confront the superintendent of schools by himself or with an attorney.

Even more important, to suspend without pay may be a tort action against Mr. Calisch. Should it be judged to be so, the principal is the person in trouble, not the superintendent. The principal cannot use as a defense, I was told to do so. If this were a proper, legal, moral defense, it would have worked for the Nazi generals in the Nuremberg trials, soldiers in Vietnam, and all those who have claimed that God (or the devil or a superior officer) "made" them do it. A condition for an adequate defense might be that the order was given under penalty of death or under extreme duress, something that is present neither in this situation nor in most similar situations. The person who commits a tort must assume responsibility for the consequences of the act, regardless of who gave the order.

3. *Response to Parents.* In responding to parents, the principal must balance individual student rights with his own obligation to adhere to the state's right to educate without disruption. He first must make it clear that

their son has a constitutional right to wear the necklace with the Nazi symbol. It is a guarantee provided under Article I of the United States Constitution. At the same time, school officials have the right to curtail or restrict certain behaviors during school hours if such acts are disruptive of the educational process.

The principal will need to explain that there are various types of disruption that are dealt with by the judiciary, including overt disruption, potential disruption, disruption caused by symbols of immoral or illegal acts, disruption caused by acts which are contrary to "prevailing community values," and nexus disruption.

Overt disruptions can be identified easily. Fighting, throwing objects at others, interrupting a controlled discussion, pushing others in the hallways, disturbing planned classroom activities, and talking loudly in the office are all forms of overt disruption. They can and should be controlled so that education can be conducted in an orderly manner. There may be a debate as to whether or not an activity, a behavior, some language, or a particular symbol constitutes overt disruption. But few will argue that such disruption should be tolerated in our schools. Educational leaders should make it absolutely clear that overt disruption cannot enter the school.

Potential disruption is a condition that may lead to overt disruption. It requires that school leaders make judgments about behaviors, language, symbols, and activities that may provoke a disruption of the educational process. Some possibilities include students wearing gang insignia, flaunting expensive jewelry, and using personal cellular telephones.

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To establish that something may be potentially disruptive requires a rationale. The item historically has been disruptive in the school. The item has been disruptive in other settings. The item can become disruptive in the judgment of the principal based on his or her background and experience. The leader should keep in mind that schools must operate in an orderly manner and that they must examine what may become disruptive and then work to prevent such conditions from creating problems in the future. This is a judgment call that can not be generalized, but is specific to each school.

Symbols of illegal or immoral acts cannot be tolerated in schools. These include such things as shirts with pictures of beer cans, cigarettes, or marijuana leaves. School officials cannot tolerate having illegal items in the possession of students, for example, guns, packs of cigarettes, bottles of liquor, and so on. Similarly, symbols of immoral acts also can be controlled. Some possibilities include indecent dress, sexual symbols, giving one "the finger" or using other offensive gestures, and using offensive language. Here again, judgment must be exercised to determine that the acts are a suggestion of an immoral activity. The leader should always distinguish between what is permitted in the general society under the protection of free speech and what is curtailed in schools under the state's right to educate without disruption. The general society extends greater protection than do classrooms.

Disruption caused by acts that are contrary to "prevailing community values" may be most difficult to establish. Identifying prevailing community values is extremely difficult. One should always appreciate that prevailing

community values in San Francisco are not the same as those in Salt Lake City. Nor are the values expressed in Columbia, South Carolina, the same as those found in Minot, North Dakota. In such a complex situation, what are school leaders to do?

The first task is to appreciate certain practices that are integral parts of the community you wish to lead. In Catholic communities, students may come to school with a black dot on their foreheads; in Jewish communities, they may wear a yarmulke. These are community practices that are accepted and valued by the community and should not be identified as disruptive behavior.

Second, acts that are contrary to prevailing community values should be controlled: displaying cartoons that denigrate the Pope, making fun of Jewish children or Jewish customs, wearing T-shirts in Salt Lake City that proclaim, "Joseph Smith Is a Fraud." Sensitive judgments should be made that balance the behaviors that are appropriate from those that are offensive. It is a difficult and delicate balance for school leaders.

Nexus disruptions refer to a linkage or a connection between two independent variables. In the school setting, nexus refers to the connection between student actions and the mind of the teacher. If an act is disruptive of the teacher's mind, it can be controlled or curtailed during the teacher's class period. Wearing clothing that recalls a teacher's rape, displaying slogans that have sexual connotations, and wearing a necklace with a Nazi symbol in Mr. Calisch's class all constitute nexus disruptions. Teachers cannot educate in an orderly fashion if conditions disrupt their concentration.

Nexus disruptions can be determined only by an individual teacher, and the teacher must be able to show a linkage (a connection) between his or her mind and the act of the student. It may not be a condition that is disruptive to other teachers. But if it is disruptive to the mind of a particular teacher (and there is a connection), then the act or acts can and should be controlled by school leaders. However, keep in mind that school leaders cannot deny fundamental rights; they can restrict their expression only during school hours or for specific classroom times.

Summary

Effective school leaders understand the difference between denial of fundamental rights and the temporary restriction of such rights when their expression disrupts the educational process. It is important that students be told that individual rights are protected by the United States Constitution. At the same time, the judiciary has supported the restriction of rights under certain circumstances. One cannot shout fire in a crowded theater, one cannot preach the violent overthrow of the government, one cannot slander or libel others, and one can not violate the reasonable rules and regulations needed to conduct education in an orderly manner.

What is most important is that leaders understand the legal and ethical limits to leadership acts. Without a thorough knowledge of and adherence to legal and ethical limits, effective educational leadership is not possible.

At the same time, some school leaders go to the other extreme and attempt to institute prohibitions that make them look foolish, for example:

- An elementary school in New York attempted to prohibit a student from circulating a petition to restore the lunch program. The school had to back down after the issue became public.
- A school in North Carolina suspended a six-year-old boy for kissing a classmate on the cheek. It was ridiculed nationally.

What is needed is a proper balance, not action at the extreme ends of both rights: individual and school.

Leadership for the Future

French poet Paul Ambroise Valéry once said, "The trouble with our times is that the future is not what it used to be." Indications are that in the 21st century, education will be faced with major challenges. Not only in the United States, but in every major country, dramatic events are affecting education. Many of these events are not favorable, and the future will require extremely competent leadership to continue to establish education as the basis for democracy, personal freedom, and prosperity.

As we enter a new century, the issues that face educational leaders are as complex as ever. For those of you who wish "to take on the woe of a people," here is what you will be confronted with:

- Decreasing financial support for public education with stronger support for alternative educational structures, such as charter schools, open enrollment, vouchers, and home schooling.
- Increased demand for accountability for both academic improvement and preparation of a highly educated workforce.

- Increasing expectations to better educate children of a more pluralistic and troubled society. You will be faced with more special education children, more children whose primary language is a foreign one, and a greater number of children who come from nontraditional families — all requiring more money.
- Increasing conflict in the governance of education as more and more pluralistic interests are expressed. Conflicts will develop over the cost of educating special needs children, over appropriate curriculum, over safe buildings, over choice plans, over separation of powers, over teaching methods and dozens of other areas.
- Pressure to use more and more technology to improve the quality of education. At this same time, technology is contributing to greater differences between rich and poor as it also is influencing pedagogy and worldwide communications. The cost of technology, however, will force the majority of schools to play catch-up for decades to come.

Educational leadership in the future will confront a society based on people, not things. Rather than from positions, leadership will emanate from knowledge, from wisdom, from the ability to persuade, and from a personal commitment to fairness and justice. Leadership will be established "through the consent of the governed," from bases of ethics, ideas, and persuasion. The imperatives of this kind of leadership are obvious:

- The appreciation and protection of democratic principles.

- The protection and extension of basic human rights.
- The adherence to ethics, equity, fairness, and justice.
- Knowledge of best practices, effective pedagogy, and education research.
- Adherence to the exemplar principle — doing the right things, not just discussing what they are.

Needed Leadership Abilities

Leaders need to develop abilities in two distinct areas: personal characteristics and technical competencies.

Personal Characteristics. In a society based on people and not things, educational leaders must possess people skills as well as management skills. Such personal characteristics include:

- The ability to listen effectively and to understand both content and feeling.
- The ability to validate the accuracy of information.
- The ability to speak frankly and clearly and to speak directly to the issue.
- The ability to be positive about life, about self, and about one's work.
- The ability to understand and to articulate the learning process.
- The ability to keep current, to synthesize knowledge, and to use research.
- The ability to receive satisfaction and reinforcement from one's work.
- The ability to motivate self and to inspire colleagues.

- The ability to try new ideas, take risks, and encourage others to do so.
- The ability to articulate purpose, to establish a vision, to inspire confidence in schools.

Bornstein and Smith state:

> Leadership is demanding and complex. With the current trend toward diversity in the workplace, quantum-leap technological advances, and fierce global competition, the demands and complexity of leadership become even more daunting. Leaders of the future will lead because they just simply need to. Their Conviction, their Character, their Care, and their Courage will drive them to at least try. The people who will lead successfully will be those who can maintain their Composure while constantly developing their Competence throughout the process. The Credible leader will be the leader of the future. (1996, p. 292)

Technical Competencies. In addition to the many people skills required for leadership in the future, technical competencies also will be required. Among those competencies are:

- The ability to manage information and to establish accesses to information bases.
- The ability to use technology, to keep current with technological advances, and to understand the uses of technology in education.
- The ability to manage financial affairs effectively, to reduce budgets at times, and to allocate resources appropriately.

- The ability to understand learning theory, to implement effective curricula, and to establish a variety of assessment strategies.
- The ability to establish direction in a society where change is the constant and diversity continues to increase.

Technical competence will require the leader to be a constant learner, to keep current with developments in other sections of society as well as in educational practice. One does not simply obtain a degree in educational leadership. The leader must be a lifelong learner. He or she must "grow" with changing circumstances.

To be effective, one must develop every potential he or she possesses, learn constantly, keep abreast of technological developments, and continue to develop new skills. In the future, leadership in schools will demand individuals who have both people skills and technical competencies.

Conclusions and Recommendations

The study of leadership is a complex matter. Leadership, under the right circumstances, can fall on the shoulders of any individual. Nevertheless, there are some items of leadership with which most students of leadership will agree. We believe that the following conclusions can be supported by the leadership literature:

1. Leadership is situational and varies with individuals and events. The situation usually helps to make the leader a person who happens to be in the right place at the right time. Harry Truman is a prime example. In education, Ella Flagg Young and Leonard Covello are individuals who happened to be at the right place at the right time.

2. Leadership occurs both by violent changes or revolution and by gradualism. The two differing circumstances are well-illustrated by the struggle between two African-American leaders: W.E.B. DuBois and Booker T. Washington. While DuBois championed dramatic social changes, Washington worked quietly and slowly

to improve the educational opportunities of African-American children. Both contributed greatly to the status of minorities in America.

3. A leader is someone who has followers. Without followers there is no leadership act. The leader usually helps to attain the goals of the group. He or she leads followers to where they wish to go. If no one is going anywhere, there is no need for a leader. In addition, followers can be lost easily. A good recent example from the political arena is Ross Perot. In education, a good example is Harold Spears in San Francisco. He was widely supported; but as the San Francisco society changed, Spears had few followers by the end of his tenure.

4. Leadership has ethical implications. Even the best intentions may have adverse consequences on others. Sometimes doing what one considers to be right may hurt some people. At the same time, an appropriate leadership act may have beneficial effects. The leader always is enmeshed in a moral environment and always must consider the moral validity of what is done or is not done. In the acts of leaders, the ethical dimensions are always present.

5. A study of history helps us to understand leadership; it gives us leadership models, provides us opportunities to examine leadership conditions, and presents contrasting points of view that force us to evaluate our own assumptions and values. Similarly, the reading of biographies gives us insight into the personality of leaders, how they are influenced by their backgrounds, and the processes they use to make decisions.

For those who aspire to educational leadership, out of madness or goodness, and wish "to take on the woe of a people," we have a few recommendations:

First, develop a strong sense of personal security early in life. Accept the fact that responsibility requires making decisions. The sooner this is done, the quicker one can have personal security. Harry Truman often said that he never worried about a decision after he made it.

Personal security also comes from learning to live with and having faith in yourself. Having some financial security, good health, and strong family (personal) relations also help to establish personal security. The stronger one's personal security, the more able the individual is to do what is right, regardless of the circumstances or the consequences.

Being a leader, making decisions, and having integrity are complex and difficult tasks. At times, the leader is confronted with an extremely difficult choice: making the right decision at the risk of losing one's job or compromising moral principles to keep the position. Having personal security will help one choose the former. Socrates chose to drink the hemlock, rather than to quit teaching the truth to young people.

When such individuals are found in school administration, the problems of education dwindle. Through them we shall conquer the fears, the faults, the pettiness, the weaknesses, and the shortcomings inherent in all men.

Second, separate preferences from principles. Life is about 98% preference and 2% principle. Compromising

on principles is a self-destructive act. Among a core of basic principles must be the belief that public schools are the bedrock of democracy. Public education is to be honored, to be appreciated, and to be defended against the attacks from both extremes of the social order.

Third, remember always that knowledge is the source of wisdom. Learn as much as possible. Read biographies, study history and philosophy, read research, visit schools that are effective, and learn as much as possible from professional colleagues. As Weber says, "Above all, study constantly how to add value to your organization, its people, and all those it seeks to serve" (1996, p. 309).

Fourth, keep in mind that power is like a strong drink: It can stimulate and motivate or it can destroy and corrupt. It can make one more sensitive to the need to share power or it can make one believe that power should be exercised on behalf of others. It can be used to support justice or commit evil in the name of "the general good," though no evil can be sanctified by a noble end.

Fifth, be wary of gurus who wish to sell the magic formula for becoming a leader. Workshops and seminars on leadership rarely provide value for the cost. Instead, leadership emanates from the lifelong struggle to be prepared for leadership. It does not come from a panacea of six techniques, seven habits, or 12 skills to be mastered. Such information may be helpful, but it is not a short-cut to leadership.

Sixth, learn from individuals whom one admires.

Seventh, never forget that leadership is the condition of having followers. If others are to follow, they must be treated courteously, with respect, as individuals of worth. The leader must believe, as Gardner states, "that individuals should be treated as ends in themselves, not as means to the leader's end, not as objects to be manipulated" (1990, p. 73). Success comes from the efforts of many, not just the leader. It is common now to say that we must "grow people." It would be better to state that the leader creates conditions that make it possible for people to grow, to contribute their best, to view their work as important, and to be inspired by the organization.

Drucker (1996) wrote that "the second major lesson is that 'leadership personality,' 'leadership style,' and 'leadership traits' do not exist." The only definition of a leader is someone who has followers.

In conclusion, Horace Mann believed that one should be ashamed to die until he has won some victory for mankind. If we are to win some victories for mankind, we must use our time to move people from vested interests to the public good, from bigotry to tolerance, from hostility to peaceful coexistence, from the extremes of pluralism to democratic consensus.

In a recent Euro-Education '96 conference held in Denmark on 22-24 May 1996, the Danish Minister of Education stated it well. "Education," he said, "provides the social knowledge enabling all of us to personally participate in our democracy and a sustainable

development of our society." The only vehicle to do that is education, and that challenge is one that leaders in education must accept.

Educational leaders always have been positive people — almost missionary in their belief in the perfectibility of the human race. They never waver in their strong understanding of the efficacy of schools and education. They have faith in the purposes of schooling. School leaders have a zeal to provide an effective education for each boy and girl, no matter the obstacles or the difficulties.

Being an educational leader is difficult. It is complex. It is rarely honored in song or book. But when the final chapter is written, it will be education and educational leaders who will have contributed most to the protection of democracy, to equity, to justice, and to human dignity.

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Phi Delta Kappa Educational Foundation

The Phi Delta Kappa Educational Foundation was established on 13 October 1966 with the signing, by Dr. George H. Reavis, of the irrevocable trust agreement creating the Phi Delta Kappa Educational Foundation Trust.

George H. Reavis (1883-1970) entered the education profession after graduating from Warrensburg Missouri State Teachers College in 1906 and the University of Missouri in 1911. He went on to earn an M.A. and a Ph.D. at Columbia University. Dr. Reavis served as assistant superintendent of schools in Maryland and dean of the College of Arts and Sciences and the School of Education at the University of Pittsburgh. In 1929 he was appointed director of instruction for the Ohio State Department of Education. But it was as assistant superintendent for curriculum and instruction in the Cincinnati public schools (1939-48) that he rose to national prominence.

Dr. Reavis' dream for the Educational Foundation was to make it possible for seasoned educators to write and publish the wisdom they had acquired over a lifetime of professional activity. He wanted educators and the general public to "better understand (1) the nature of the educative process and (2) the relation of education to human welfare."

The Phi Delta Kappa fastbacks were begun in 1972. These publications, along with monographs and books on a wide range of topics related to education, are the realization of that dream.